



## Agency Records Disposition Schedule

Department: Department of Commerce and Insurance

Section:

Division: Insurance Company Regulation Division

Sub-Section:

**TITLE:** Application for Admission

**CUTOFF:** End of calendar year in which transaction concluded

**DESCRIPTION:** Insurance companies must be licensed to conduct business in the State of Missouri. Records include, but are not limited to, applications for licensure for insurance companies based in Missouri (domestic) or outside Missouri (foreign and alien). Records kept per 374.070.3 RSMo.

**RETENTION:** Years: 5 Months: 0 Days: 0

**NOTES:** Copies of applications. See series 1015 for original applications and series 22622 and 22623 for renewal documentation.

**DISPOSITION ACTION:** Destroy

**SERIES:** 22626

**SERIES STATUS:** Approved

**APPROVAL DATE:** 11/15/2016

**TITLE:** Audit Guide and Analysis Files

**CUTOFF:** End of calendar year in which transaction concluded

**DESCRIPTION:** Work papers produced from financial analysis relating to annual and quarterly reviews of domestic (in-state), foreign (out-of-state), and alien (out-of-country) insurance companies' financial statements including Forms B and C. Records created per 20 CSR 200-11.101 and kept per 374.070.3 RSMo.

**RETENTION:** Years: 7 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 22649

**SERIES STATUS:** Approved

**APPROVAL DATE:** 11/15/2016

**TITLE:** Audit Reports - Surplus Line Insurers

**CUTOFF:** EOY in which audit completed

**DESCRIPTION:** Surplus lines are risks related to an unusual type of coverage not provided under regular insurance policies. Records include, but are not limited to, department examination records of producer surplus line businesses. Records kept per 374.070.3 and 374.070.4 RSMo.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 22629

**SERIES STATUS:** Approved

**APPROVAL DATE:** 6/9/2015



## Agency Records Disposition Schedule

Department: Department of Commerce and Insurance

Section:

Division: Insurance Company Regulation Division

Sub-Section:

**TITLE:** Certificate of Authority License Files - Alien

**CUTOFF:** EOY in which transaction concluded

**DESCRIPTION:** Licensure renewal documents for alien (out-of-country) insurers which allow companies to conduct business in the State of Missouri. Records include the annual renewal documents for certificates of authority. Alien companies are required to provide a certified copy of their certificate of authority from their country of domicile. Records kept per 374.070.4 RSMo.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:** See series 22626 for Applications for Admission.

**DISPOSITION ACTION:** Destroy

**SERIES:** 24085

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015

**TITLE:** Certificate of Authority License Files - Domestic

**CUTOFF:** End of Calendar Year in which transaction concluded

**DESCRIPTION:** Licensure renewal documents for domestic (in-state) insurers which allow companies to conduct business in the State of Missouri. Records include the annual renewal documents for certificates of authority. Records kept per 374.070.3 RSMo.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:** See series 22626 for Applications for Admission.

**DISPOSITION ACTION:** Destroy

**SERIES:** 22622

**SERIES STATUS:** Approved

**APPROVAL DATE:**

11/15/2016

**TITLE:** Certificate of Authority License Files - Foreign and Alien

**CUTOFF:** End of calendar year in which transaction concluded

**DESCRIPTION:** Licensure renewal documents for foreign (out-of-state) and alien (out-of-country) insurers which allow companies to conduct business in the State of Missouri. Records include the annual renewal documents for certificates of authority. Foreign companies are required to provide a certified copy of their certificate of authority from their state of domicile. Records kept per 374.070.3 RSMo.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:** See series 22626 for Applications for Admission.

**DISPOSITION ACTION:** Destroy

**SERIES:** 22623

**SERIES STATUS:** Approved

**APPROVAL DATE:**

11/15/2016



## Agency Records Disposition Schedule

Department: Department of Commerce and Insurance

Section:

Division: Insurance Company Regulation Division

Sub-Section:

**TITLE:** Certification Reports

**CUTOFF:**EOCY in which transaction concluded

**DESCRIPTION:** Reports produced by the Department of Insurance, Financial Institutions and Professional Registration that are provided to the State Treasurer, the Department of Revenue and/or the Division of Workers' Compensation which reflect the certified tax liabilities of individual domestic (in-state), foreign (out-of-state), and alien (out-of-country) insurance companies. Records kept per 374.070.3 and 374.070.4 RSMo.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 22640

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015

**TITLE:** Change Letters

**CUTOFF:**EOCY in which transaction concluded

**DESCRIPTION:** Letters produced by the Department of Insurance, Financial Institutions and Professional Registration that are provided to the State Treasurer, the Department of Revenue and/or the Division of Workers' Compensation to recertify tax amounts for insurance companies for a calendar year. Records kept per 374.070.3 and 374.070.4 RSMo.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:** Certified premium tax amounts are assessed and paid by individual companies.

**DISPOSITION ACTION:** Destroy

**SERIES:** 22639

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015

**TITLE:** Company Counts Reports

**CUTOFF:**EOCY in which reports produced

**DESCRIPTION:** Reports produced periodically by the Department of Insurance, Financial Institutions and Professional Registration reflecting the number of insurance companies licensed and authorized to conduct insurance business in the State of Missouri. Records kept per 374.070.3 and 374.070.4 RSMo.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:** Reports are organized by state of domicile and business type.

**DISPOSITION ACTION:** Destroy

**SERIES:** 22638

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015



## Agency Records Disposition Schedule

Department: Department of Commerce and Insurance

Section:

Division: Insurance Company Regulation Division

Sub-Section:

**TITLE:** Company Organization Information - Alien

**CUTOFF:** EOY in which transaction concluded

**DESCRIPTION:** Alien (out-of-country) company articles and by-laws including information regarding amendments, service of process, name changes, redomestications, mergers, adding and withdrawing lines of authority, withdraws, revocations, and suspensions. Records kept per 374.070.4 RSMo.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 24086

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015

**TITLE:** Company Organization Information - Domestic

**CUTOFF:** End of calendar year in which transaction concluded

**DESCRIPTION:** Domestic (in-state) company articles and by-laws including information regarding amendments, service of process, name changes, redomestications, mergers, adding and withdrawing lines of authority, withdraws, revocations, and suspensions. Records kept per 374.070.3 RSMo.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 22624

**SERIES STATUS:** Approved

**APPROVAL DATE:**

11/15/2016

**TITLE:** Company Organization Information - Foreign and Alien

**CUTOFF:** EOY in which transaction concluded

**DESCRIPTION:** Foreign (out-of-state) and alien (out-of-country) company articles and by-laws including information regarding amendments, service of process, name changes, redomestications, mergers, adding and withdrawing lines of authority, withdraws, revocations, and suspensions. Records kept per 374.070.4 RSMo.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 22625

**SERIES STATUS:** Approved

**APPROVAL DATE:**

11/15/2016



## Agency Records Disposition Schedule

Department: Department of Commerce and Insurance

Section:

Division: Insurance Company Regulation Division

Sub-Section:

**TITLE:** Examination Reports - Domestic

**CUTOFF:** End of calendar year in which transaction concluded

**DESCRIPTION:** Financial examination reports on domestic (in-state) companies. Examinations are statutorily required to be conducted on each domestic insurer at least once every five years, or more frequently as determined by the Department of Insurance, Financial Institutions and Professional Registration. Records created per 374.205 RSMo.

**RETENTION:** Years: 20 Months: 0 Days: 0

**NOTES:** Records are organized by year, then by company. Foreign and alien company examination reports are kept in their respective states and countries.

**DISPOSITION ACTION:** Destroy

**SERIES:** 22646

**SERIES STATUS:** Approved

**APPROVAL DATE:** 11/15/2016

**TITLE:** Examination Working Papers

**CUTOFF:** EOY in which transaction concluded

**DESCRIPTION:** Documents produced by examiners during their examination of an insurance company. Records include, but are not limited to, actuarial billings charged to the examined company and warrants providing examination authority. Per 374.205 RSMo., examinations are statutorily required to be conducted on each domestic (in-state) insurer at least once every five years, or more frequently as determined by the Division of Insurance Company Regulation. Records created per 374.205 RSMo. and kept per 374.070.3 RSMo.

**RETENTION:** Years: 7 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 22645

**SERIES STATUS:** Approved

**APPROVAL DATE:** 6/9/2015



## Agency Records Disposition Schedule

Department: Department of Commerce and Insurance

Section:

Division: Insurance Company Regulation Division

Sub-Section:

---

**TITLE:** Financial Statements - Alien

**CUTOFF:** EOY in which transaction concluded

**DESCRIPTION:** Annual and quarterly financial statements pertaining to alien (out-of-country) companies including authorized reinsurers and suspended alien companies. Records include, but are not limited to, alien consolidated financial statements and related jurat pages, certificates of deposit, deeds of trust, market value of securities, requests, and certificates of valuation. Records kept per 374.070.4 RSMo.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

---

**SERIES:** 24087

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015

---

**TITLE:** Financial Statements - Domestic

**CUTOFF:** End of calendar year in which transaction concluded

**DESCRIPTION:** Annual and quarterly financial statements pertaining to domestic (in-state) and farm mutual companies. Records include, but are not limited to, related supplemental exhibits, certified public accountant reports, management correspondence and analysis, and certificates of valuation statements. Records kept per 374.070.3 RSMo.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:** Records are organized by year, then by company.

**DISPOSITION ACTION:** Destroy

---

**SERIES:** 22643

**SERIES STATUS:** Approved

**APPROVAL DATE:**

11/15/2016

---



## Agency Records Disposition Schedule

Department: Department of Commerce and Insurance

Section:

Division: Insurance Company Regulation Division

Sub-Section:

**TITLE:** Financial Statements - Foreign and Alien

**CUTOFF:** End of calendar year in which transaction concluded

**DESCRIPTION:** Annual and quarterly financial statements pertaining to foreign (out-of-state) and alien (out-of-country) companies including authorized reinsurers and suspended foreign and alien companies. Records include, but are not limited to, foreign consolidated financial statements and related jurat pages, certificates of deposit, deeds of trust, market value of securities, requests, and certificates of valuation. Records kept per 374.070.4 RSMo.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 22644

**SERIES STATUS:** Approved

**APPROVAL DATE:** 11/15/2016

**TITLE:** Insurance Company Correspondence

**CUTOFF:** End of calendar year in which transaction concluded

**DESCRIPTION:** Correspondence with domestic (in-state), foreign (out-of-state), and alien (out-of-country) companies, including correspondence from the Chief Financial Examiner. Records include, but are not limited to, all correspondence received from domestic, foreign, and alien insurance companies related to financial regulation including foreign exam reports, actuary letters, address changes, listings of officers and directors, failure to file and delinquency notices, and requests for extensions to filing deadlines or exemptions from regulatory filing requirements. Records kept per 374.070.3 RSMo.

**RETENTION:** Years: 7 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 22627

**SERIES STATUS:** Approved

**APPROVAL DATE:** 11/15/2016



## Agency Records Disposition Schedule

Department: Department of Commerce and Insurance

Section:

Division: Insurance Company Regulation Division

Sub-Section:

**TITLE:** Missouri Premium Product Reports

**CUTOFF:**EOCY in which transaction concluded

**DESCRIPTION:** Records include, but are not limited to, detailed listings of risk located in Missouri and the producers responsible for the reporting and payment of tax. Reports are produced and submitted annually by surplus lines insurance companies that are approved to write insurance business in the State of Missouri. These reports are audited by the department against the producer's tax records to verify all premiums have been reported to the Department of Insurance, Financial Institutions and Professional Registration. Records kept per 374.070.4 RSMo.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 22632

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015

**TITLE:** Monthly Cash Reconciliations

**CUTOFF:**EOCY

**DESCRIPTION:** Monthly reconciliations of cash payments submitted by companies licensed and authorized to conduct insurance business in the State of Missouri. Records kept per 374.070.3 and 374.070.4 RSMo.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 22636

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015

**TITLE:** Premium Tax Delinquency Summary Reports

**CUTOFF:**EOCY

**DESCRIPTION:** Reports produced by the Department of Insurance, Financial Institutions and Professional Registration organizing delinquencies and overpayments of premium taxes by year and company.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 22642

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015





## Agency Records Disposition Schedule

Department: Department of Commerce and Insurance

Section:

Division: Insurance Company Regulation Division

Sub-Section:

---

**TITLE:** Premium Tax Return Summary Reports

**CUTOFF:**EOCY

**DESCRIPTION:** Reports produced by the Department of Insurance, Financial Institutions and Professional Registration that summarize the data from all premium tax returns filed by companies licensed and authorized to conduct insurance business in the State of Missouri. Insurance companies are taxed on the amount of premiums they generate from the sale of insurance products.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 22641

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015

---

**TITLE:** Quarterly Reconciliations

**CUTOFF:**EOCY

**DESCRIPTION:** Reports used in reconciling the annual and quarterly premium tax liabilities of companies licensed and authorized to conduct insurance business in the State of Missouri.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 22635

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015

---

**TITLE:** Regulatory Filings

**CUTOFF:**EOCY in which transaction concluded

**DESCRIPTION:** Documents required to be submitted for departmental approval as part of licensing requirements. Records include, but are not limited to, standard forms; dividend requests; reinsurance agreements; and Forms A, D, and E. Records created per 20 CSR 200-11.101 and kept per 374.070.3 RSMo.

**RETENTION:** Years: 7 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 22648

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015

---



## Agency Records Disposition Schedule

Department: Department of Commerce and Insurance

Section:

Division: Insurance Company Regulation Division

Sub-Section:

**TITLE:** Statutory Security Deposit Files

**CUTOFF:** EOCY in which transaction concluded

**DESCRIPTION:** Documents providing audit confirmation for auditors and companies. Records include, but are not limited to, deposit and withdrawal requests, joint deposit agreements, reliance letters, bank weekly deposit exception reports, bank monthly deposit reports, certificates of deposit, account confirmation for auditors, and audit confirmation for companies. Records are required to ensure an insurance company maintains its statutorily required monetary deposit. Records created per 374.049 RSMo. and kept per 374.070.3 RSMo.

**RETENTION:** Years: 7 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 22650

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015

**TITLE:** Surplus Line Broker Applications

**CUTOFF:** EOCY in which transaction concluded

**DESCRIPTION:** Applications to become a surplus line broker in the State of Missouri. Surplus lines are risks related to an unusual type of coverage not provided under regular insurance policies. Records kept per 374.070.3 RSMo.

**RETENTION:** Years: 5 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 22630

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015

**TITLE:** Surplus Lines and Brokers Self-Procured Tax Records

**CUTOFF:** EOCY in which transaction concluded

**DESCRIPTION:** Forms required to be filed by the producer on each risk placed in Missouri and the payment of tax due. Records kept per 374.070.4 RSMo.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 22628

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015



## Agency Records Disposition Schedule

Department: Department of Commerce and Insurance

Section:

Division: Insurance Company Regulation Division

Sub-Section:

---

**TITLE:** Tax Certification

**CUTOFF:** EOCY

**DESCRIPTION:** Certification of tax submitted by the Broker for desk audit and certification. RSMo 374.070.4 authorizes the retention period.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:** Series will be made obsolete when final box is disposed of (12/31/2015)

**DISPOSITION ACTION:** Destroy

**SERIES:** 22631

**SERIES STATUS:** Approved

**APPROVAL DATE:**

8/2/2007

---

**TITLE:** Tax Credit Reports

**CUTOFF:** EOCY in which reports filed

**DESCRIPTION:** Records include, but are not limited to, reports that contain premium tax credit transactions of companies licensed and authorized to conduct insurance business in the State of Missouri. The transactions are entered into by the company resulting in the issuance or redemption of premium tax credits that can be applied against the premium tax liability on the company's premium tax return.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 22637

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015

---

**TITLE:** Tax Returns and Related Correspondence - Alien

**CUTOFF:** EOCY in which transaction concluded

**DESCRIPTION:** Records include, but are not limited to, domiciled and closed alien (out-of-country) receivership companies' premium tax returns including supporting documentation and correspondence. The premium tax returns are submitted directly to the Department of Insurance, Financial Institutions and Professional Registration for desk audit and certification. Records kept per 374.070.4 RSMo.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 24088

**SERIES STATUS:** Approved

**APPROVAL DATE:**

6/9/2015

---



## Agency Records Disposition Schedule

Department: Department of Commerce and Insurance

Section:

Division: Insurance Company Regulation Division

Sub-Section:

---

**TITLE:** Tax Returns and Related Correspondence - Domestic

**CUTOFF:** End of Calendar Year in which transaction concluded

---

**DESCRIPTION:** Records include, but are not limited to, Missouri domiciled and closed domestic (in-state) receivership companies' premium tax returns, including supporting documentation and correspondence. The premium tax returns are submitted directly to the Department of Insurance, Financial Institutions and Professional Registration for desk audit and certification. Records kept per 374.070.3 RSMo.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

---

**SERIES:** 22633

**SERIES STATUS:** Approved

**APPROVAL DATE:** 11/15/2016

---

**TITLE:** Tax Returns and Related Correspondence - Foreign and Alien

**CUTOFF:** End of Calendar Year in which transaction concluded

---

**DESCRIPTION:** Records include, but are not limited to, domiciled and closed foreign (out-of-state) and alien (out-of-country) receivership companies' premium tax returns including supporting documentation and correspondence. The premium tax returns are submitted directly to the Department of Insurance, Financial Institutions and Professional Registration for desk audit and certification. Records kept per 374.070.4 RSMo.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

---

**SERIES:** 22634

**SERIES STATUS:** Approved

**APPROVAL DATE:** 11/15/2016

---



## Agency Records Disposition Schedule

Department: Department of Commerce and Insurance

Section:

Division: Insurance Company Regulation Division

Sub-Section:

---

**TITLE:** Third-Party Administrator and Regulated Entity Records

**CUTOFF:** End of calendar year in which transaction concluded

---

**DESCRIPTION:** Attachments and other required regulatory paperwork used for licensing. Records include, but are not limited to, Third-Party Administrator financial statements, organizational documents, Secretary of State certificates of good standing, fidelity bonds, biographical affidavits, managing general agent applications, appointments, and reinsurance intermediary applications. Records kept per 374.070.3 RSMo.

**RETENTION:** Years: 7 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 22651

**SERIES STATUS:** Approved

**APPROVAL DATE:** 11/15/2016

---

**TITLE:** Workers Compensation Self Insurers Premium Tax

**CUTOFF:** EOCY

---

**DESCRIPTION:** Documents regarding workers' compensation premium tax on self-insurers, to ensure compliance with all regulations.

**RETENTION:** Years: 10 Months: 0 Days: 0

**NOTES:**

**DISPOSITION ACTION:** Destroy

**SERIES:** 22680

**SERIES STATUS:** Approved

**APPROVAL DATE:** 8/2/2007

---